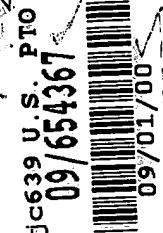


JMS/GMB/dlc
09/01/00

PATENT APPLICATION
DOCKET NO.: 2037.1005-002



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Peter B. Gillingham ✓
Application No.: Con. of 08/595,020 Group Art Unit:
Filed: September 1, 2000 Examiner:
Title: METHOD OF MULTI-LEVEL STORAGE IN DRAM AND APPARATUS THEREOF ✓
(As Amended)

#1. Col
3/2/01
2 IDS

Date: <u>9-1-00</u>
EXPRESS MAIL LABEL NO. <u>EL551544795US</u>

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

This Information Disclosure Statement is submitted:

☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)

☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of the national stage in international application; or before mailing date of first office action on the merits or before the first Office Action after the filing of a Request for Continued Examination under 37 C.F.R. 1.114; whichever occurs last)

☐ under 37 CFR 1.97(c) together with either:
☐ a Statement under 37 CFR 1.97(e), as checked below, or
☐ a \$240.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)

☐ under 37 CFR 1.97(d) together with:
☐ a Statement under 37 CFR 1.97(e), as checked below, and
☐ a Petition under 37 CFR 1.97(d)(2), and
☐ a \$130.00 petition fee set forth in 37 CFR 1.17(i).
(Filed after final action or notice of allowance, whichever occurs first, but before payment of the issue fee)

☐ Applicant requests that the attached IDS and cited reference(s) [] be placed in the application filewrapper.
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Enclosed herewith is form PTO-1449:

- ☒ Copies of the cited references are enclosed.
- ☐ Copies of cited references are enclosed except those entered in prior application, U.S. Serial No. [], and references that are not required to be submitted under 37 CFR 1.98.
- ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.

Concise Explanation Requirement (non-English references):

- ☐ The "concise explanation" requirement for reference(s) [] under 37 CFR 1.98(a)(3) is satisfied by:
- ☐ the explanation provided on the attached sheet.
- ☐ the explanation provided in the Specification.
- ☐ submission of the enclosed International Search Report.
- ☐ the enclosed English language abstract.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

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Lexington, Massachusetts 02421-4799

Dated: 9/1/00

PTO-449 REPRODUCED

ATTORNEY DOCKET NO.
2037.1005-002APPLICATION NO.
Con. of 08/595,020INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

August 22, 2000

(Use several sheets if necessary)

APPLICANT
Peter B. GillinghamFILING DATE
September 1, 2000

GROUP

08/29/00 U.S. PTO
09/05/00

00/10/00

U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
	AA	4,287,570	Sep 1 1981	Stark	365	104	
	AB	4,415,992	Nov 15 1983	Adlhoch	365	94	
	AC	4,661,929	Apr 18 1987	Aoki, et al.	365	189	
	AD	4,771,404	Sep 13 1988	Mano, et al.	365	189	
	AE	4,622,655	Nov 11 1986	Suzuki	365	149	
	AF	5,184,324	Feb 2 1993	Ohta	365	149	
	AG	5,293,563	Mar 8 1994	Ohta	365	190	
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION YES NO
	AL						
	AM						
	AN						
	AO						
	AP						
	AQ						

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	AR	Ohta, Yoshiji, et al., Symposium, "A Novel Memory Cell Architecture for High-Density DRAMs," VLSI Circuits, May 1989, pp. 101-102.
	AS	
	AT	

EXAMINER

DATE CONSIDERED